

27123

CUSTOMER NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : BRODERICK, Patricia A. Confirmation No. : 8835
Serial No : 10/580,884 Examiner : TBA
Filing Date : May 26, 2006 Group Art Unit : 1617
For : CLOZAPINE AND COCAINE EFFECTS ON DOPAMINE AND
SEROTONIN RELEASE IN NUCLEUS ACCUMBENS DURING PSYCHOSTIMULANT
BEHAVIOR AND WITHDRAWAL

Attention: REFUND
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

REQUEST FOR REFUND PURSUANT TO 37 CFR §1.26

Sir:

A U.S. national stage application under 35 USC § 371 and the filing fees pursuant to 37 C.F.R. §1.445 were filed by Express Mail on May 26, 2006. A copy of the Return Receipt Postcard, indicating the application serial number (USSN 10/580,884) and filing date is attached as **Exhibit 1**.

When the U.S. national stage was entered, the applicant inadvertently claimed Large entity status instead of SMALL entity status. Applicant states that is was a SMALL entity at the time the U.S. national stage application was filed, and further states that applicant continues to maintain a SMALL entity status. The total national fee paid for this application was **\$850.00**. The fee should have been reduced by one half to **\$425.00**. A copy of the Transmittal Letter is attached as **Exhibit 2**.

This REQUEST FOR REFUND is made within two years from the date the fee was inadvertently paid at the large entity rate, *i.e.*, May 26, 2006.

The payment for entering the U.S. National Stage of PCT/US2004/40756 has already been secured for filing the above-identified application.

The difference between the secured amount of **\$850.00** and the amount due for SMALL ENTITY **\$425.00** is **\$425.00**. Please credit the requested amount of **\$425.00** to Deposit Account No. 13-4500, Order No. 4742-4001US1.

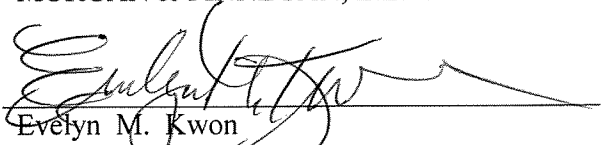
AUTHORIZATION

Applicants believe that no additional fees are necessary, however, should any such fees be due, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request, or credit any overpayment, to Deposit Account No. 13-4500, Order No. 4742-4001US1.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: May 4, 2007

By:


Evelyn M. Kwon
Registration No. 54,246

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Case No. 4742-4001US1

Serial No.

10/580884

TBA

Date Mailed May 26, 2006

ATTY

EMK/JEF

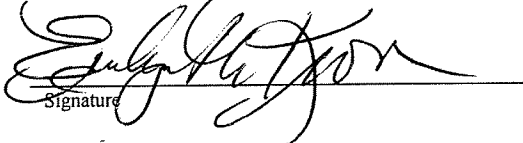
Date Due in the Patent Office

IAP15 Rec'd PCT/PTO 26 MAY 2006

The return of this post card, properly stamped, will
acknowledge receipt in the Patent & Trademark Office
of the Following:

1. Transmittal letter to the US Designated Elected Office
Concerning Filing Under 35 USC 371 (2 pps);
2. Published International Application with International
Search Report (Parts 1/2 and 2/2);
3. Form PCT/IB/308 (First Notice) (1 pp);
4. Form PCT/IB/308 (Second and Supplementary Notice)
(1 pp);
5. Form PCT/IB/304 (1 pp);
6. Form PCT/IB/301 (3 pps);
7. Express Mail Certificate EV 826870788 US; and
8. Return Receipt Postcard.

FORM PTO-1390 (REV 10-2004)		ATTORNEY DOCKET NUMBER 4742-4001US1
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.51) TBA
INTERNATIONAL APPLICATION PCT/US2004/040756	INTERNATIONAL FILING DATE 06 December 2004	PRIORITY DATE CLAIMED 04 December 2003
TITLE OF INVENTION CLOZAPINE AND COCAINE EFFECTS ON DOPAMINE AND SEROTONIN RELEASE IN NUCLEUS ACCUMBENS DURING PSYCHOSTIMULANT BEHAVIOR AND WITHDRAWAL		
APPLICANT(S) FOR DO/EO/US BRODERICK, Patricia A.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). 4. <input checked="" type="checkbox"/> The US has been elected. (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11. to 20. below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821-1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or Information: Form PCT/IB/308 (First Notice); Form PCT/IB/308 (Second and Supplementary Notice); Form PCT/IB/304; Form PCT/IB/301; and Return Receipt Postcard. 		

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NO.	
TBA		PCT/US2004/040756		4742-4001US1	
				CALCULATIONS	PTO USE ONLY
The following fees have been submitted					
21. <input checked="" type="checkbox"/> Basic national fee		\$300		\$300.00	
22. <input checked="" type="checkbox"/> Examination fee					
If International preliminary examination report prepared by USPTO and all					
claims satisfy provisions of PCT Article 33(1)-(4)		\$100			
All other situations		\$200		\$200.00	
23. <input checked="" type="checkbox"/> Search fee					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to					
the USPTO as an International Searching Authority		\$100			
International Search Report prepared and provided to the Office		\$400			
All other situations		\$500		\$100.00	
TOTAL OF 21, 22 and 23 =				\$600.00	
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
129 - 100 = 29	29/50 =	1	x \$250.00	\$250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	6 - 20 =	0	x \$50.00	\$0.00	
Independent claims	1 - 3 =	0	x \$200.00	\$0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$850.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$850.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$
TOTAL NATIONAL FEE =				\$850.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	
TOTAL FEES ENCLOSED =				\$850.00	
				Amount to be refunded:	\$
				Amount to be charged:	\$850.00
<p>a. <input type="checkbox"/> A check in the amount of \$ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>13-4500 (4742-4001US1)</u> in the amount of \$850.00 to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-4500 (4742-4001US1)</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO: 27123 Enter Address Here</p> <p>MORGAN & FINNEGAN LLP 3 World Financial Center New York, New York 10281-2101 212 415 8700 Telephone 212 415 8701 Fax</p> <div style="text-align: right; margin-top: 20px;">  Signature Evelyn M. Kwon Name 54,246 REGISTRATION NUMBER </div>					